

SEARCH REQUEST FORM

Scientific and Technical Information Center

Requester's Full Name: Charles Kyk Examiner #: 72313 Date: 4/30/01
 Art Unit: 2164 Phone Number 305 4458 Serial Number: PCT US 00/35353
 Mail Box and Bldg/Room Location: _____ Results Format Preferred (circle): PAPER DISK E-MAIL

If more than one search is submitted, please prioritize searches in order of need.

 Please provide a detailed statement of the search topic, and describe as specifically as possible the subject matter to be searched. Include the elected species or structures, keywords, synonyms, acronyms, and registry numbers, and combine with the concept or utility of the invention. Define any terms that may have a special meaning. Give examples or relevant citations, authors, etc, if known. Please attach a copy of the cover sheet, pertinent claims, and abstract.

Title of Invention: System Method for Implementing Foreign Exchange
Currency Forwards
 Inventors (please provide full names): Brian A. Weston

Earliest Priority Filing Date: 12/30/99

For Sequence Searches Only Please include all pertinent information (parent, child, divisional, or issued patent numbers) along with the appropriate serial number.

I need information on the network based processing of currency exchange trading, specifically for exchange forwards.

I have done a preliminary search and found a website which looked useful but it has no date of last update. Dates on the site indicate that it may have been set up around January, 1999. The site is circled on the attached email from Nicky Cogdell.

04-30-01 P01:56 IN

STAFF USE ONLY

Searcher: N. Cogdell
 Searcher Phone #: 6-4767
 Searcher Location: ERIC 2100
 Date Searcher Picked Up: 5/4
 Date Completed: 5/4
 Searcher Prep & Review Time: 8
 Clerical Prep Time: _____
 Online Time: 14

Type of Search

NA Sequence (#) _____
 AA Sequence (#) _____
 Structure (#) _____
 Bibliographic ☒ _____
 Litigation _____
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 Patent Family _____
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Vendors and cost where applicable

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 Lexis/Nexis _____
 Sequence Systems _____
 WWW/Internet _____
 Other (specify) _____

Best Available Copy

4/9/1 (Item 1 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
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02453404 (THIS IS THE FULLTEXT)

CIBC Provides Online Foreign Exchange Transactions.
(CIBC introduces CIBC FX Web Dealing service allowing small- and mid-size corporate customers to transact foreign exchanges online)

Financial NetNews, v IV, n 18, p 5

May 03, 1999

DOCUMENT TYPE: Newsletter (United States)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 160

TEXT:

CIBC has launched **CIBC FX Web Dealing**, an Internet-based application that enables small and mid-sized commercial clients to conduct foreign exchange transactions online. The Toronto-based firm, which provides banking and brokerage services, rolled out the feature to expand the suite of products it offers business customers and to stay in line with competitors, many of whom are offering a wide range of online services, according to a spokesman. **CIBC** also wanted to provide increased service to the large percentage of its Canadian customers who export products and need to settle transactions in other currencies, he added. The new offering is also geared toward landing new accounts, he added, noting the firm does not have specific customer acquisition goals. **CIBC FX Web Dealing** (www.fxdealing.cibc.com) allows corporate customers who are residents of Canada and conduct currency transactions equaling C\$100,000 per year, to purchase or sell one of 16 currencies, including the U.S. dollar, British pound, Swiss franc, Canadian dollar and Japanese yen.

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+44-171-779-8999/www.iinews.com

COMPANY NAMES: CANADIAN IMPERIAL BANK OF COMMERCE

INDUSTRY NAMES: Banking; Information industry; Online services; Securities

PRODUCT NAMES: Foreign exchange and trade finance banks (608000);

Services allied with exchange of securities or commodities, NEC (628900)

; On-line service providers. (737500)

CONCEPT TERMS: All product and service information; Product introduction

GEOGRAPHIC NAMES: Canada (CDA); Canada (CDAX); North America (NOAX)

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4/9/2 (Item 1 from file: 636)
DIALOG(R) File 636:Gale Group Newsletter DB(TM)
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04135906 Supplier Number: 54277347 (THIS IS THE FULLTEXT)

INDUSTRY BRIEFS.

Corporate EFT Report, v19, n6, pNA

March 31, 1999

ISSN: 0272-0299

Language: English Record Type: Fulltext

Document Type: Newsletter; Trade

Word Count: 649

TEXT:

Depository Trust Co. Merging With NSCC. The New York-based Depository Trust Co., the world's largest securities depository, will merge its organization with that of the National Securities Clearing Corp., the leading provider of centralized post-trade comparison, trade netting, settlement and information services for equities and bonds in the United States. The new entity will be a holding company with two operating subsidiaries, and is expected to be in place by the end of 1999. DTC chairman and CEO Jill Considine, previously president of the New York Clearing House, will be the CEO of the new entity. The DTC holds nearly \$19 trillion in assets, the New Yorkbased NSCC cleared and settled \$44.6 trillion of transactions last year. (Stuart Goldstein, NSCC, 212/412-8472; Kathleen Hawk, DTC, 212/966-9397.)

First Union Upgrades WebInVision. The Cash Management Division of Charlotte, N.C.-based First Union [FTU] has enhanced WebInVision, its Internet-based funds transfer and information reporting service. Improvements to the Netscape Navigator or Microsoft Internet Explorer browser-compatible system include domestic repetitive wire and automated clearing house funds transfer capabilities. Commonfund Treasury Inc., a Westport, Conn.-based investment organization for schools, is the first customer to use the enhancements. Full rollout of the new WebInVision service will take place in April. First Union is the country's sixth-largest bank, and is the third-largest cash management bank. (Arati Sontakay, First Union, 704/383-3996.)

TSI Buys Braid Group. TSI International Software [TSFW], a Wilton, Conn.-based provider of enterprise application integration (EAI) software, acquired Braid Group Ltd. on March 23. London-based Braid Group provides EAI software to the banking and securities industry. The company's products include transaction management applications that enable efficiencies through transaction matching, cash management, integration of feeds into back-office accounting systems and support for financial decision-making. (Cynthia Brockhoff, TSI International, 203/761-8600.)

Online Service For California Bank & Trust. California Bank & Trust, the state's fifth largest commercial bank, selected Scottsdale, Ariz.-based Intelispan [IVPN] as its provider of virtual private network services to deliver its commercial online banking services. CB&T plans to offer cash management functions such as fund transfers, deposit reporting, stop payments, foreign exchange and book transfers online to more than 2,000 of its commercial customers. Implementation of the Intelispan network is underway at CB&T (formerly Sumitomo Bank of California), a unit of Zions Bancorp. [ZION]. (Nina Christensen, Intelispan, 602/443-3999.)

CIBC Offers Web-Based Foreign Exchange. Toronto-based Canadian Bank of Imperial Commerce is offering a real-time, Internet-based application for small and mid-sized companies that transact a minimum of \$100,000 in foreign currency conversions each year. The service, **FX Web Dealing**, allows business clients to get live quotes, transfer funds between accounts, purchase drafts, send wire transfers or obtain transaction history from their desktop. Additional information can be found at www.fxdealing.cibc.com. (Matthew Clarke, **CIBC**, 416/594-7670.)

State Department Goes On MQuest. The U.S. State Department has chosen MQuest, the network messaging platform from Great Neck, N.Y.-based ICM Electronic Banking Services, to process U.S. and international payments from its financial services offices in North America and Asia to employees' and other creditors' banks. MQuest will enable the State Department to send ICM-converted S.W.I.F.T. messages from its U.S. and Asian regional offices through the Federal Reserve Bank of New York to overseas banks with payment

authorization instructions for its employees' and other creditors' accounts. The system is installed and awaiting user testing. (Diane Wukitsch, ICM, 516/466-1423.)

Arthur Andersen Adds PayBase. Portsmouth, N.H.-based Bottomline Technologies' [EPAY] PayBase payment technology will be offered by Chicago-based Arthur Andersen LLP as a Best Practice solution for corporate payments. PayBase will be offered as part of the professional services giant's Electronic Commerce solutions, which are designed to help companies position themselves for transition to secure, cost effective electronic payments. (Ellen Backus, Bottomline, 978/740-0780; Russ Gates, Arthur Andersen, 312/507-4810.)

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INDUSTRY NAMES: BANK (Banking, Finance and Accounting); BUSN (Any type of business); CMPT (Computers and Office Automation)

11/3,K/1 (Item 1 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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00987215 96-36608

Telerate opens Windows

Anonymous

Financial Technology International Bulletin v12n6 PP: 6 Feb 1995

ISSN: 0265-1661 JRNL CODE: FTI

WORD COUNT: 269

...TEXT: continuously updated 24-hour rates in major, secondary and exotic spot currencies, Deutschemark cross rates, **forward** pricing, and deposit rates from its worldwide **foreign exchange** trading **network**.

On the multimedia front, European subscribers to Bloomberg screens are to be offered a new...

11/3,K/2 (Item 2 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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00857538 95-06930

Foreign investors discover Indian securities

Behari, Meenakshi

AsiaMoney India Investment Guide Supplement PP: 7, 9+ Apr 1994

ISSN: 0958-9309 JRNL CODE: AMF

WORD COUNT: 5131

...TEXT: brokers.

F.R. Ratnagar & Co, through its offices in Bombay and Madras, is catering to **foreign exchange** dealing through sophisticated communication **network** covering major banks. Understanding and experience of **forward** markets are their specialization.

This progressive company has backed its strategies with strong financial strengths...

11/3,K/3 (Item 1 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
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02893848 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Goldman prepares online FX assault

(Goldman Sachs to use e-commerce to reach foreign exchange end users it currently does not reach; firm coers around 1,200 large institutional investors who use foreign exchange)

Financial News, p N/A

August 21, 2000

DOCUMENT TYPE: Journal ISSN: 1461-1260 (United Kingdom)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 351

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:

...s WebET is the only client-facing foreign exchange web portal that includes FX futures, **forwards** and options as well as spot **foreign exchange**. Goldman is also one of six banks developing Volbroker, an **internet**-based system for trading **foreign exchange** options on the interbank market, and a member of the consortium of banks behind FXAll...

11/3,K/4 (Item 2 from file: 9)
DIALOG(R)File 9:Business & Industry(R)

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02274136

Softbank, Sonnet Form Venture

(Sonnet Financial Inc and Softbank Corp are to form a joint venture to offer Japan-based Internet foreign-exchange trading)

Wall Street Journal , v CCXXXII, n 81, p A9

October 23, 1998

DOCUMENT TYPE: Business Newspaper ISSN: 0099-9660 (United States)

LANGUAGE: English RECORD TYPE: Abstract

ABSTRACT:

...Financial Inc and Softbank Corp are to form a joint venture to offer Japan-based **Internet foreign-exchange** trading. With the move, Softbank goes further **forward** into online-financial products. The venture is to be called Forexbank Inc and will be...

11/3,K/5 (Item 1 from file: 610)

DIALOG(R)File 610:Business Wire

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00451484 20010129029B9905 (USE FORMAT 7 FOR FULLTEXT)

OANDA Selects Jeffrey Hunter as President; New Position a Promotion for OANDA's EVP & CIO

Business Wire

Monday, January 29, 2001 12:15 EST

JOURNAL CODE: BW LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 408

...technology and information systems has helped the company grow into new sectors of the online **foreign exchange** markets."

"OANDA is a leader in developing cutting-edge **Internet** solutions for **foreign**

exchange ," said Mr. Hunter. "Moving **forward** , I plan to work with the company's

R&D department to launch the most...

11/3,K/6 (Item 1 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

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04529252 Supplier Number: 58546791 (USE FORMAT 7 FOR FULLTEXT)

APX plans U. K. forwards exchange.

The Energy Report, v27, n51, p1100

Dec 20, 1999

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 112

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

Automated Power Exchange (APX), the **Internet** -based **forwards** power exchange, has announced plans for its first **foreign exchange** , in the United Kingdom.

11/3,K/7 (Item 2 from file: 636)

DIALOG(R)File 636:Gale Group Newsletter DB(TM)

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04056168 Supplier Number: 53568681 (USE FORMAT 7 FOR FULLTEXT)

American Companies in Japan: FINANCIAL SERVICES.

Japan-U.S. Business Report, v1998, n350, pNA

Nov 30, 1998

Language: English Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 1243

... of the capital for the joint venture, which will use its American partner's FXWeb **Internet** platform for trading. FXWeb gives clients wholesale or "interbank" **foreign exchange** rates on spot and **forward** contracts for a low fixed fee per transaction. Sonnet Financial's zero-spread pricing guarantee...

11/3,K/8 (Item 3 from file: 636)
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03802738 Supplier Number: 48245846 (USE FORMAT 7 FOR FULLTEXT)
CURRENCY MANAGEMENT CORPORATION: CMC enhances Internet forex dealing service
M2 Presswire, pN/A
Jan 26, 1998
Language: English Record Type: Fulltext
Document Type: Newswire; Trade
Word Count: 413

... range of new enhancements to its popular Market.Maker service developed by software house Information.**Internet** .
Forward foreign exchange , spot and **forward** precious metals and futures services are now available free of charge to CMC customers in...

11/3,K/9 (Item 4 from file: 636)
DIALOG(R)File 636:Gale Group Newsletter DB(TM)
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02558851 Supplier Number: 45165154 (USE FORMAT 7 FOR FULLTEXT)
THIS WEEK'S LEAD STORY #2: AFTER TIB, STORM/X ROLLOUTS, BANK OF BOSTON EYES ADDITIONAL RISK MANAGEMENT SYSTEMS, GRAPHICS
Trading Systems Technology, v8, n11, pN/A
Nov 28, 1994
Language: English Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 1221

(USE FORMAT 7 FOR FULLTEXT)
TEXT:
With its new head-office trading room **network** in place -- including a new **foreign exchange** risk management package -- Bank of Boston is looking **forward** to buying more trading room software, as well as to expanding the systems it's...

11/3,K/10 (Item 5 from file: 636)
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02093219 Supplier Number: 43864028 (USE FORMAT 7 FOR FULLTEXT)
THREE MORE ENROL FOR RESALE
Exchange, v5, n20, pN/A
May 28, 1993
Language: English Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 255

... but without success.
Newsnet is a Sydney-based company offering domestic and international store and **forward** facsimile services. Saturn Global **Networks** is an Australian headquartered company owned by UK-based **foreign exchange** and broking house MW Marshall & Co. It was created last year and uses

Marshall's...

11/3,K/11 (Item 1 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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04999552 Supplier Number: 47342338 (USE FORMAT 7 FOR FULLTEXT)

Thomas Cook Offers Forex Trading

Wall Street & Technology, p26

May, 1997

Language: English Record Type: Fulltext

Document Type: Magazine/Journal; Trade

Word Count: 173

(USE FORMAT 7 FOR FULLTEXT)

TEXT:

...Desk, available in demo form at www.fx4business.com, extends the firm's expertise in **foreign currency** drafts, wires and **forwards** to the **Internet**. Institutional and individual clients will be able to purchase drafts and wires in an array...


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April 30 2001

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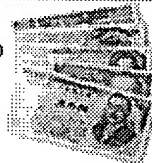
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April 30, 2001

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FXTRADE****February 13, 2001...****Another deadly earthquake strikes
the people of El Salvador.****Accounts**

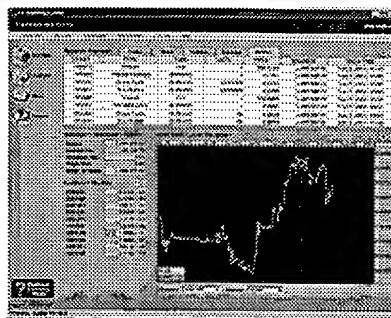
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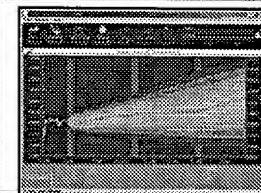
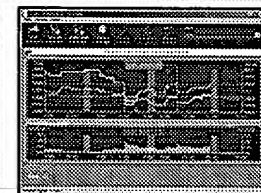
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USD/CAD	1.53555
EUR/GBP	0.61995
GBP/USD	1.43125
EUR/USD	0.88715
GBP/CHF	2.4837
GBP/JPY	176.895
USD/CHF	1.73515
EUR/CHF	1.53935
USD/JPY	123.605
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Mon Apr 30 16:50:00 2001

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